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Commissioner for Patents  
2900 Crystal Drive  
Arlington VA 22202-3513

SENT: November 28, 2001  
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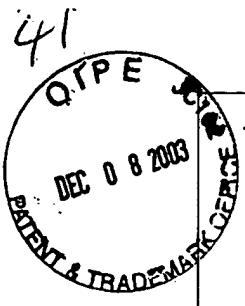
Kindly acknowledge receipt of the below-listed documents by placing your receiving stamp hereon and mailing:

Check; PTO/SB/21 Transmittal; Response to Notice to File Msg. Parts; PTO/SB/17 Fee Transmittal (+copy); Declaration; ADS; Election and POA; Statement under 37 CFR 3.73(b); copy of Assignment, copy of Notice to File Msg. Parts; in re: Susan Hand-Zimmermann et al., USAN 09/930,125, filed August 14, 2001, for COMPOSITIONS AND METHODS FOR THE THERAPY AND DIAGNOSIS OF HER-2/NEU-ASSOCIATED MALIGNANCIES.

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12-09-03

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# TRANSMITTAL FORM

(To be used for all correspondence after initial filing)

|                      |                       |
|----------------------|-----------------------|
| Application Number   | 09/930,125            |
| Filing Date          | August 14, 2001       |
| First Named Inventor | Susan Hand-Zimmermann |
| Art Unit             | 1642                  |
| Examiner Name        | Susan Ungar, Ph.D.    |
| Attorney Docket No.  | 210121.544            |

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## ENCLOSURES (check all that apply)

|   |  |  |
|---|--|--|
| <input checked="" type="checkbox"/> Fee Transmittal Form                        | <input type="checkbox"/> Drawing(s)  | <input type="checkbox"/> CD(s), Number of CD(s) _____                                      |
| <input checked="" type="checkbox"/> Fee Attached                                | <input type="checkbox"/> Request for Corrected Filing Receipt                            | <input type="checkbox"/> After Allowance Communication to Group                            |
| <input checked="" type="checkbox"/> Amendment/Response                          | <input type="checkbox"/> Licensing-related Papers  | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences        |
| <input type="checkbox"/> After Final  | <input type="checkbox"/> Petition  | <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) |
| <input type="checkbox"/> Affidavits/declaration(s)                              | <input type="checkbox"/> Petition to Convert to a Provisional Application                | <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) |
| <input checked="" type="checkbox"/> Extension of Time Request                   | <input type="checkbox"/> Power of Attorney, Revocation, Change of Correspondence Address | <input type="checkbox"/> Proprietary Information   |
| <input type="checkbox"/> Express Abandonment Request                            | <input type="checkbox"/> Declaration   | <input type="checkbox"/> Status Letter   |
| <input type="checkbox"/> Information Disclosure Statement; Form PTO-1449        | <input type="checkbox"/> Statement under 37 CFR 3.73(b)                                  | <input checked="" type="checkbox"/> Return Receipt Postcard                                |
| <input type="checkbox"/> Cited References                                       | <input type="checkbox"/> Terminal Disclaimer   | <input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below):       |
| <input type="checkbox"/> Certified Copy of Priority Document(s)                 | <input type="checkbox"/> Request for Refund  | <u>Copy of ADS sent 11/28/01</u>   |
| <input type="checkbox"/> Response to Missing Parts under 37 C.F.R. 1.52 or 1.53 |  | <u>Copy of Postcard from Response to Missing Parts sent 11/28/01</u>                       |
| <input type="checkbox"/> Response to Missing Parts/Incomplete Application       |  |  |

Remarks

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

|                 |                                |                                 |
|-----------------|--------------------------------|---------------------------------|
| Individual Name | William T. Christiansen, Ph.D. | Customer Number<br><b>00500</b> |
| Signature       |                                |                                 |
| Date            | December 8, 2003               |                                 |

## CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

|                       |  |       |
|-----------------------|--|-------|
| Typed or printed name |  |       |
| Signature             |  | Date: |

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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# FEE TRANSMITTAL for FY 2004

Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27.

TOTAL AMOUNT OF PAYMENT (\$) **110**

Complete if Known

Application Number **09/930,125**  
 Filing Date **August 14, 2001**  
 First Named Inventor **Susan Hand-Zimmermann**  
 Examiner Name **Susan Ungar, Ph.D.**  
 Art Unit **1642**  
 Attorney Docket No. **210121.544**

## METHOD OF PAYMENT

☒ Payment Enclosed:  
☒ Check ☐ Credit card ☐ Money Order ☐ Other

☐ Deposit Account:

Deposit  
Account  
Number

**19-1090**

Deposit  
Account  
Name

**Seed Intellectual Property Law Group  
PLLC**

The Director is authorized to (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments  
☐ Charge any additional fee(s) during the pendency of this application  
☐ Charge fee(s) indicated below, except for the filing fee  
☒ Charge any deficiencies

to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

| Large Entity |         | Small Entity |         | Fee Description        | Fee Paid |
|--------------|---------|--------------|---------|------------------------|----------|
| Fee Code     | Fee(\$) | Fee Code     | Fee(\$) |                        |          |
| 1001         | 770     | 2001         | 385     | Utility filing fee     |          |
| 1002         | 340     | 2002         | 170     | Design filing fee      |          |
| 1003         | 530     | 2003         | 265     | Plant filing fee       |          |
| 1004         | 770     | 2004         | 385     | Reissue filing fee     |          |
| 1005         | 160     | 2005         | 80      | Provisional filing fee |          |
| SUBTOTAL (1) |         |              |         |                        | (\$)     |

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

|                    | Prev. paid | Extra Claims | Fee from below | Fee Paid |
|--------------------|------------|--------------|----------------|----------|
| Total Claims       | <b>5</b>   | <b>.12</b>   | <b>0</b>       |          |
| Independent Claims | <b>2</b>   | <b>.5</b>    | <b>0</b>       |          |
| Multiple Dependent |            |              |                |          |

| Large Entity |          | Small Entity |          | Fee Description  |
|--------------|----------|--------------|----------|--|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |  |
| 1202         | 18       | 2202         | 9        | Claims in excess of 20                                     |
| 1201         | 86       | 2201         | 43       | Independent claims in excess of 3                          |
| 1203         | 290      | 2203         | 145      | Multiple dependent claim, if not paid                      |
| 1204         | 86       | 2204         | 43       | ** Reissue independent claims over original patent         |
| 1205         | 18       | 2205         | 9        | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2)

(\$)

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

| Large Entity |          | Small    |          | Fee Description  | Fee Paid |
|--------------|----------|----------|----------|--|----------|
| Fee Code     | Fee (\$) | Fee Code | Fee (\$) |  |          |
| 1051         | 130      | 2051     | 65       | Surcharge - late filing fee or oath  |          |
| 1052         | 50       | 2052     | 25       | Surcharge - late provisional filing fee or cover sheet.                    |          |
| 1053         | 130      | 1053     | 130      | Non-English specification  |          |
| 1812         | 2520     | 1812     | 2520     | For filing a request for ex parte reexamination                            |          |
| 1804         | 920*     | 1804     | 920*     | Requesting publication of SIR prior to Examiner action                     |          |
| 1805         | 1840*    | 1805     | 1840*    | Requesting publication of SIR after Examiner action                        |          |
| 1251         | 110      | 2251     | 55       | Extension for reply within first month                                     | 110      |
| 1252         | 420      | 2252     | 210      | Extension for reply within second month                                    |          |
| 1253         | 950      | 2253     | 475      | Extension for reply within third month                                     |          |
| 1254         | 1480     | 2254     | 740      | Extension for reply within fourth month                                    |          |
| 1255         | 2010     | 2255     | 1005     | Extension for reply within fifth month                                     |          |
| 1401         | 330      | 2401     | 165      | Notice of Appeal   |          |
| 1402         | 330      | 2402     | 165      | Filing a brief in support of an appeal                                     |          |
| 1403         | 290      | 2403     | 145      | Request for oral hearing   |          |
| 1451         | 1510     | 1451     | 1510     | Petition to institute a public use proceeding                              |          |
| 1452         | 110      | 2452     | 55       | Petition to revive - unavoidable   |          |
| 1453         | 1330     | 2453     | 665      | Petition to revive - unintentional   |          |
| 1501         | 1330     | 2501     | 665      | Utility issue fee (or reissue)   |          |
| 1502         | 480      | 2502     | 240      | Design issue fee   |          |
| 1503         | 640      | 2503     | 320      | Plant issue fee  |          |
| 1460         | 130      | 1460     | 130      | Petitions to the Commissioner  |          |
| 1807         | 50       | 1807     | 50       | Processing fee under 37 CFR 1.17(q)  |          |
| 1806         | 180      | 1806     | 180      | Submission of Information Disclosure Stmt                                  |          |
| 8021         | 40       | 8021     | 40       | Recording each patent assignment per property (times number of properties) |          |
| 1809         | 770      | 2809     | 385      | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 1810         | 770      | 2810     | 385      | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 1801         | 770      | 2801     | 385      | Request for Continued Examination (RCE)                                    |          |
| 1802         | 900      | 1802     | 900      | Request for expedited examination of a design application                  |          |

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

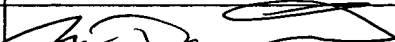
(\$) 110

## SUBMITTED BY

Name (Print/Type) **William T. Christiansen, Ph.D.**

Registration No. Attorney/Agent **44,614**

Signature



Date

**December 8, 2003**

Customer Number

**00500**

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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